

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	5827338
<b>Application Number:</b>	10632818
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	5247
<b>Title of Invention:</b>	AUCTION SYSTEM AND METHOD FOR PRICING AND ALLOCATION DURING CAPITAL FORMATION
<b>First Named Inventor/Applicant Name:</b>	William R. Hambrecht
<b>Customer Number:</b>	02101
<b>Filer:</b>	Robert Asher
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	2955/107
<b>Receipt Date:</b>	04-AUG-2009
<b>Filing Date:</b>	04-AUG-2003
<b>Time Stamp:</b>	16:59:56
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 1813
RAM confirmation Number	3279
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Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

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## File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		rd2955_107_issuefee.pdf	380386	yes	4
			4cf87c6cbc7a216a4bf6d9a5cb851acd476a322c		

	Multipart Description/PDF files in .zip description			
	Document Description		Start	End
	Issue Fee Payment (PTO-85B)		1	3
	Miscellaneous Incoming Letter		4	4

## Warnings:

## Information:

2	Fee Worksheet (PTO-875)	fee-info.pdf	33717	no	2
			6251bba8fec880b5ca4a5a9eb4bd880a44830d15		

## Warnings:

## Information:

Total Files Size (in bytes):			414103
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### New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

### New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.